

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known see 37 C.F.R. 1.5)

**09/744113**

INTERNATIONAL APPLICATION NO.

**PCT/EP00/04517**

INTERNATIONAL FILING DATE

**18 MAY 2000**

(EARLIEST) PRIORITY DATE CLAIMED

**19 MAY 1999**

TITLE OF INVENTION

**METHOD FOR PROVIDING A SUBSTRATE STRUCTURE FOR  
ORIENTED NEURITE GROWTH, SUBSTRATE STRUCTURE, AND  
DEVICE FOR MONITORING NEURONS**

APPLICANT(S) FOR DO/EO/US

**Gabriele NELLES and Akio YASUDA**

Applicants herewith submit to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).
4. ☐ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 16 below concern document(s) or information included:**

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☒ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

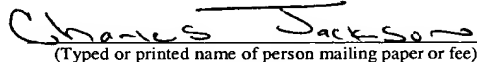
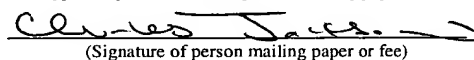
PCT/ISA/210

3 Sheets of Drawings

**EXPRESS MAIL**Mailing Label Number: **EL742665822US**Date of Deposit: **January 18, 2001**

I hereby certify that this paper or fee is being deposited with the United States Postal Service

"Express Mail Post Office to Addressee" Service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents and Trademarks, Box PCT Washington, DC 20231.

  
(Typed or printed name of person mailing paper or fee)  
(Signature of person mailing paper or fee)

PCT/EP00/04517

7-03033

09/744113

17. ☒ The following fees are submitted

(CALCULATIONS /PTO USE ONLY)

**Basic National Fee (37 CFR 1.492(a)(1)-(5)):**

Neither international preliminary examination fee (37 CFR 1.482)

nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO

and International Search Report not prepared by the EPO or JPO ..... \$1,000.00

International preliminary examination fee (37 C.F.R. 1.482) not paid to

USPTO but International Search Report prepared by the EPO or JPO ..... \$ 860.00

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but

International search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$ 710.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)

but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$ 690.00

International preliminary examination fee paid to USPTO (37 CFR 1.482)

and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$ 100.00

**ENTER APPROPRIATE BASIC FEE AMOUNT = (\$ 860.00)**Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 (\$  
months from the earliest claimed priority date (37 CFR 1.492(e)).73 Claims /Number Filed / Number Extra /Rate (\$Total Claims / 73 - 20 = / 53 /X \$18.00 (\$ 954.00Independent Claims / 3 - 3 = / 0 /X \$80.00 (\$ 000.00

MULTIPLE DEPENDENT CLAIM(S) (if applicable) /+ \$270.00 (\$

**TOTAL OF ABOVE CALCULATIONS = (\$1,814.00**☐ Applicant claims small entity status. See 37 C.F.R. 1.27. The fees indicated above  
are reduced by 1/2. (\$**SUBTOTAL = (\$1,814.00**Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30 (\$  
months from the earliest claimed priority date (37 CFR 1.492(f)). +**TOTAL NATIONAL FEE = (\$1,814.00**Fee for recording the enclosed assignments (37 CFR 1.21(h)). The assignment must be (\$  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + (\$**TOTAL FEES ENCLOSED = (\$1,814.00**(Amount to be:  
refunded: \$

(charged: \$

a. ☒ A check in the amount of \$1,814.00 to cover the above fees is enclosed.b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$\_\_\_\_\_ to cover the above fees.

A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit

Account No. 50-0320. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the  
application to pending status.

SEND ALL CORRESPONDENCE TO:

**WILLIAM S. FROMMER  
FROMMER LAWRENCE & HAUG LLP  
745 FIFTH AVENUE  
NEW YORK, NEW YORK 10151**Dated: January 18, 2001

SIGNATURE

William S. Frommer

NAME

25,506

REGISTRATION NUMBER

09/744113

JCO2 Rec'd PCT/PTO 18 JAN 2001

Attorney Docket No. 450117-03033

New Patent Application filed **January 18, 2001**, entitled:

**METHOD FOR PROVIDING A SUBSTRATE STRUCTURE  
FOR ORIENTED NEURITE OUTGROWTH, SUBSTRATE  
STRUCTURE, AND DEVICE FOR MONITORING NEURONS**

corresponding to PCT Application No. PCT/EP00/04517

filed May 18, 2000

Express Mail No.: EL742665822US

Date of Deposit: January 18, 2001

I hereby certify that this application is being deposited with the United States  
Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date  
indicated above and is addressed to:

Box PCT  
Assistant Commissioner for Patents  
Washington, D.C. 20231.

Charles Jackson